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 DATE: Monday, February 27, 2006 [Printable Copy](#) [Create Case](#)

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<i>DB=PGPB,USPT,USOC,EPAB,JPAB,DWPI,TDBD; PLUR=YES; OP=OR</i>			
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<u>L2</u>	L1 and (on-line or online or internet or www or network) near\$1 trad\$ near account	1910466	<u>L2</u>
<u>L1</u>	(automat\$ with system with software or analysis with software)	53844	<u>L1</u>

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File: USPT

Jul 16, 2002

US-PAT-NO: 6421653

DOCUMENT-IDENTIFIER: US 6421653 B1

**** See image for Certificate of Correction ****

TITLE: Systems, methods and computer program products for electronic trading of financial instruments

DATE-ISSUED: July 16, 2002

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
May; R. Raymond	Mathews	NC		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Blackbird Holdings, Inc.	Charlotte	NC			02

APPL-NO: 09/169906 [\[PALM\]](#)

DATE FILED: October 12, 1998

PARENT-CASE:

CROSS-REFERENCE TO RELATED APPLICATION This application claims benefit of co-pending U.S. Provisional Application No. 60/062,410, entitled "Systems and Methods for Electronic Trading of Financial Contracts," and filed Oct. 14, 1997. In addition, the present application is related to the following co-pending, commonly assigned U.S. applications, each of which is incorporated by reference as if set forth in full: "Systems, Methods And Computer Program Products For Subject-Based Addressing In An Electronic Trading System," filed Oct. 12, 1998, and accorded application Ser. No.: 09-169,767; "Systems, Methods And Computer Program Products For Monitoring Credit Risks In Electronic Trading Systems," filed Oct. 12, 1998, and accorded application Ser. No.: 09/169,878; and "Switch Engine For Risk Position Discovery In An Electronic Trading System," filed Oct. 12, 1998, and accorded application Ser. No.: 09/169,879.

INT-CL-ISSUED: [07] [G06](#) [F](#) [17/60](#)US-CL-ISSUED: [705/37](#); [705/36](#)US-CL-CURRENT: [705/36R](#)FIELD-OF-CLASSIFICATION-SEARCH: [705/35](#), [705/36](#), [705/37](#), [705/38](#), [705/39](#)
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PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

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	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>3581072</u>	May 1971	Nymeyer	
<input type="checkbox"/>	<u>4674044</u>	June 1987	Kaimus et al.	
<input type="checkbox"/>	<u>4677552</u>	June 1987	Sibley, Jr.	
<input type="checkbox"/>	<u>4903201</u>	February 1990	Wagner	
<input type="checkbox"/>	<u>4953085</u>	August 1990	Atkins	
<input type="checkbox"/>	<u>4980826</u>	December 1990	Wagner	
<input type="checkbox"/>	<u>5003473</u>	March 1991	Richards	
<input type="checkbox"/>	<u>5077665</u>	December 1991	Silvermann et al.	
<input type="checkbox"/>	<u>5101353</u>	March 1992	Lupien et al.	
<input type="checkbox"/>	<u>5126936</u>	June 1992	Champion et al.	
<input type="checkbox"/>	<u>5136501</u>	August 1992	Silverman et al.	
<input type="checkbox"/>	<u>5168446</u>	December 1992	Wiseman	
<input type="checkbox"/>	<u>5193056</u>	March 1993	Boes	
<input type="checkbox"/>	<u>5258908</u>	November 1993	Hartheimer et al.	
<input type="checkbox"/>	<u>5270922</u>	December 1993	Higgins	<u>705/37</u>
<input type="checkbox"/>	<u>5285383</u>	February 1994	Lindsey et al.	
<input type="checkbox"/>	<u>5297031</u>	March 1994	Guttermann et al.	
<input type="checkbox"/>	<u>5375055</u>	December 1994	Togher et al.	
<input type="checkbox"/>	<u>5396552</u>	March 1995	Jahn et al.	
<input type="checkbox"/>	<u>5446885</u>	August 1995	Moore et al.	
<input type="checkbox"/>	<u>5517406</u>	May 1996	Harris et al.	
<input type="checkbox"/>	<u>5557517</u>	September 1996	Daugherty, III	
<input type="checkbox"/>	<u>5594639</u>	January 1997	Atsumi	
<input type="checkbox"/>	<u>5630127</u>	May 1997	Moore et al.	
<input type="checkbox"/>	<u>5802499</u>	September 1998	Sampson et al.	705/35
<input type="checkbox"/>	<u>5819237</u>	October 1998	Garman	
<input type="checkbox"/>	<u>5845266</u>	December 1998	Lupien et al.	<u>705/37</u>
<input type="checkbox"/>	<u>5873071</u>	February 1999	Ferstenberg et al.	<u>705/37</u>
<input type="checkbox"/>	<u>5905974</u>	May 1999	Fraser et al.	
<input type="checkbox"/>	<u>5915209</u>	June 1999	Lawrence	155/31.2
<input type="checkbox"/>	<u>5924082</u>	July 1999	Silverman et al.	
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<input type="checkbox"/>	<u>5940810</u>	August 1999	Traub et al.	
<input type="checkbox"/>	<u>5950176</u>	September 1999	Keiser et al.	
<input type="checkbox"/>	<u>5970479</u>	October 1999	Shepherd	<u>705/37</u>
<input type="checkbox"/>	<u>6012046</u>	January 2000	Lupien et al.	<u>705/37</u>

<input type="checkbox"/>	<u>6014627</u>	January 2000	Togher et al.	
<input type="checkbox"/>	<u>6014643</u>	January 2000	Minton	
<input type="checkbox"/>	<u>6098051</u>	August 2000	Lupien et al.	<u>705/37</u>
<input type="checkbox"/>	<u>6134600</u>	October 2000	Liu	

FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	CLASS
0 399 850	November 1990	EP	
0 407 026	January 1991	EP	
0 411 748	February 1991	EP	
WO 95 06918	March 1995	WO	
WO 96 05563	February 1996	WO	
WO 96 34357	October 1996	WO	
WO 97 03409	January 1997	WO	

OTHER PUBLICATIONS

Ludwig; "Supervision by risk" Journal of Commercial Lending, v78, p52-60., Nov. 1995; Dialog file 268, Accession No. 00274059.*

"Derivatives tool merger. . . C.ATS Software Inc.; LOR/Geske Bock Associates Inc" Software Industry Report, v28, n4, p4(1), Dialog file 148, Accession No. 08536443; Feb. 19, 1996.*

Maguire"Details on Derivatives: AIG Breaks Down Exposure by Industry"; Insurance Accountant; Jun. 13, 1994; p. 1; vol. 4, No. 23.*

Jerome Yen, Ho Geun, Lee and Tung BUI; Intelligent Clearinghouse:Elrctronic Marketplace with Computer-Mediated Negotiation Supports;Proceedings of the Twenty-Ninth Hawaii International Conference on System Sciences, Proceedings of HICSS-29; 29.sup.th Hawaii International conference on System Sciences, Wailea, HI, US, Jan. 3-6, 1996; pp. 219-2217, vol.3; XP002097382 ISBN 0-8186-7330-3, 1996; Los Alamitos, California, IEEE Computer Soc. Press.

ART-UNIT: 2765

PRIMARY-EXAMINER: Hafiz; Tariq R.

ASSISTANT-EXAMINER: Jeanty; Romain

ATTY-AGENT-FIRM: Alston & Bird LLP

ABSTRACT:

An internet-protocol based anonymous trading system which enables traders to identify bids and offers which they are eligible to trade based upon a color coded methodology which gives the trader credit preference information about the potential counterparty while still maintaining the anonymity of the potential counterparty. To that end, each bid or offer is prescreened against all possible counterparties' credit information in the system and each counterparty sees a unique color coded trading interface based upon their particular credit preference combinations and the others in the system. The system then shows all prices in the system, and the color-coding tells the trader which prices he is able to trade, and also shows him the full depth of the market, including those the trader is unable

to trade.

47 Claims, 40 Drawing figures

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